

DEMONSTRATION PROJECT • PERFORMANCE MANAGEMENT RECORD

PERFORMANCE APPRAISAL AND POSITION REVIEW

Employee's Name _____

Position/Title _____

Career Path/Series/Band _____

Organization _____

Rating Period _____

RATING OFFICIAL'S CERTIFICATION

I Certify That:

☐

This plan is a complete and accurate statement of the performance elements, objectives, and major activities that will form the basis of the employee's performance appraisal.

☐

The performance plan and position description reflect similar objectives, duties and responsibilities.

Name and Title of Rating Official

Signature

Date

HIGHER LEVEL SUPERVISOR CONCURRENCE

I agree with the certification of the position description and concur with the performance plan.

Name and Title of Higher Level Supervisor (if appropriate)

Signature

Date

PAY POOL MANAGER'S APPROVAL

I agree with the certification of the position description and I approve the performance plan.

Name and Title of Pay Pool Manager

Signature

Date

REVIEWING OFFICIAL'S APPROVAL

This review is appropriate when the pay pool manager is also the rating official.

Name and Title of Reviewing Official

Signature

Date

EMPLOYEE ACKNOWLEDGMENT

My signature acknowledges discussion of the position description and receipt of the performance plan, but does not necessarily signify agreement with either document.

Employee's Signature

Date

SECTION 1 - PERFORMANCE PLAN

Employee's Name

Rating Period

Element No.

1 of

ITEM 1. Performance Element, Objective and Point Weight

Critical Element:

Objective:

Point Weight:

The weight must reflect the importance of the element or the time required to perform it, or both. Element weight must be in 5-point increments, with no element weight higher than 60 points, and all element weights must equal 100 points.

ITEM 2. Major Activities or Required Results Related to the Above Element *(Maximum of 5)*

ITEM 3. Evaluation Criteria *(Benchmark performance standards must be used; add supplemental standards, if needed.)*

SECTION 1 - PERFORMANCE PLAN

Employee's Name

Rating Period

Element No.

2 of

ITEM 1. Performance Element, Objective and Point Weight

Critical Element:

Objective:

Point Weight:

The weight must reflect the importance of the element or the time required to perform it, or both. Element weight must be in 5-point increments, with no element weight higher than 60 points, and all element weights must equal 100 points.

ITEM 2. Major Activities or Required Results Related to the Above Element *(Maximum of 5)*

ITEM 3. Evaluation Criteria *(Benchmark performance standards must be used; add supplemental standards, if needed.)*

SECTION 1 - PERFORMANCE PLAN

Employee's Name

Rating Period

Element No.

3 of

ITEM 1. Performance Element, Objective and Point Weight

Critical Element:

Objective:

Point Weight:

The weight must reflect the importance of the element or the time required to perform it, or both. Element weight must be in 5-point increments, with no element weight higher than 60 points, and all element weights must equal 100 points.

ITEM 2. Major Activities or Required Results Related to the Above Element *(Maximum of 5)*

ITEM 3. Evaluation Criteria *(Benchmark performance standards must be used; add supplemental standards, if needed.)*

SECTION 1 - PERFORMANCE PLAN

Employee's Name

Rating Period

Element No.

4 of

ITEM 1. Performance Element, Objective and Point Weight

Critical Element:

Objective:

Point Weight:

The weight must reflect the importance of the element or the time required to perform it, or both. Element weight must be in 5-point increments, with no element weight higher than 60 points, and all element weights must equal 100 points.

ITEM 2. Major Activities or Required Results Related to the Above Element *(Maximum of 5)*

ITEM 3. Evaluation Criteria *(Benchmark performance standards must be used; add supplemental standards, if needed.)*

SECTION 1 - PERFORMANCE PLAN

Employee's Name

Rating Period

Element No.

5 of

ITEM 1. Performance Element, Objective and Point Weight

Critical Element:

Objective:

Point Weight:

The weight must reflect the importance of the element or the time required to perform it, or both. Element weight must be in 5-point increments, with no element weight higher than 60 points, and all element weights must equal 100 points.

ITEM 2. Major Activities or Required Results Related to the Above Element *(Maximum of 5)*

ITEM 3. Evaluation Criteria *(Benchmark performance standards must be used; add supplemental standards, if needed.)*

SECTION 1 - PERFORMANCE PLAN

Employee's Name

Rating Period

Element No.

6 of

ITEM 1. Performance Element, Objective and Point Weight

Critical Element:

Objective:

Point Weight:

The weight must reflect the importance of the element or the time required to perform it, or both. Element weight must be in 5-point increments, with no element weight higher than 60 points, and all element weights must equal 100 points.

ITEM 2. Major Activities or Required Results Related to the Above Element *(Maximum of 5)*

ITEM 3. Evaluation Criteria *(Benchmark performance standards must be used; add supplemental standards, if needed.)*

ITEM 4. Mid-Cycle/Progress Review (Check appropriate box)

- ☐ 1. Review indicates performance is **Eligible**.
- ☐ 2. Review indicates performance is **Eligible**; however, there are performance deficiencies, as stated below.
- ☐ 3. Review indicates performance is **deficient** and a performance improvement plan is needed. Deficiencies are stated below. (If this block is checked, supervisor must contact the servicing HR office.)

Key Achievements, Strengths: Be specific and relate these to performance elements. List areas where work was done well and identify the strengths exhibited by the employee during the rating period.

Deficiencies, Areas of Concern: (Must be filled in if box 2 or box 3 above is checked): Be specific and relate these to individual performance elements. Note deficiencies or areas where performance has declined during the rating period.

Suggestions/Strategies for Improvement: List areas in which the employee might enhance performance. Comments can also identify suggestions for career growth and development.

	Employee's Initials	Date	Rating Official's Initials	Date
Mid-Cycle Progress Review				
Progress Review				
Progress Review:				

ITEM 5. Rating Official's End-of-Year Appraisal *(Includes consideration of attached employee accomplishments)*

- ☐ 1. Review indicates performance is **Eligible**.
- ☐ 2. Review indicates performance is **Eligible**; however, there are performance deficiencies, as stated below.
- ☐ 3. Review indicates performance is **deficient** and a performance improvement plan is needed. Deficiencies are stated below. *(If this block is checked, supervisor must contact the servicing HR office.)*
- ☐ 4. Review indicates that a PIP has not been successfully completed and performance is rated **Unsatisfactory**.

Key Achievements, Strengths: Be specific and relate these to performance elements. List areas where work was done well, and identify the strengths exhibited by the employee during the rating period.

Deficiencies, Areas of Concern: *(Must be filled in if box 2 or box 3 above is checked):* Be specific and relate these to individual performance elements. Note deficiencies or areas where performance has declined during the rating period.

Suggestions/Strategies for Improvement: List areas in which the employee might enhance performance. Comments can also identify suggestions for career growth and development.

SECTION 2 - PERFORMANCE SUMMARY RATING

Employee's Name

Rating Period

Organization

ITEM 1. Scoring

1. List each performance element and its weight.
2. Assign a score to each element. Enter "Unsatisfactory" if element performance does not warrant a score.
3. Complete total score by summing element scores. Total score can range from 40 to 100. If one or more elements are rated "Unsatisfactory," there is no total score and the overall rating is "Unsatisfactory."

Performance Element

Weight

Score

1.

2.

3.

4.

5.

6.

TOTAL SCORE

ITEM 2. Rating and Payouts

☐

Eligible (All elements scored in the Eligible range)

☐

Unsatisfactory (At least one element rated Unsatisfactory)

Performance Pay Increase Percentage

Dollar Amount

Bonus Amount

Name and Title of Rating Official

Signature

Date

Name and Title of Higher Level Supervisor (If Appropriate)

Signature

Date

Name and Title of Pay Pool Manager

Signature

Date

Name and Title of Reviewing Official

Signature

Date

Employee's Signature (Signifies evaluation feedback meeting held)

Employee comments attached?

☐ YES

☐ NO

Date

ELEMENT POINT RANGES AND PERFORMANCE STANDARDS

This sheet must be used in conjunction with the performance plan. The benchmark performance standards are used to evaluate and score against the elements, objectives, and activities listed in the plan.

ELEMENT POINT RANGES**BENCHMARK PERFORMANCE STANDARDS**

60	55	50	45	40	35	30	25	20	15	10	5	Element objectives were achieved with maximum impact, through exemplary work that demonstrated exceptional originality, versatility, and creativity. Activities and related tasks were carried out the utmost effectiveness and reliability, rarely leaving room for improvement. Products were of the highest quality. Problems were solved with dedicated perseverance, penetrating insight, meticulous attention to detail, and unprecedented success. Potential sources of conflict were anticipated and avoided through creative alternatives. Cooperation and responsiveness were actively promoted wherever possible. Written and oral communications related to the performance of element activities maximized desired results, forged new cooperative relationships, and increased organizational prestige.
59	54	49	44	39	34	29	24					
58	53	48	43	38	33			19				
57	52	47	42	37	32	28			14			
56	51	46	41	36		27		18		9		
55	50	45	40	35	30	26						
54	49	44	39	34	30		21	17				
53	48	43	38	34	29	25						
52	47	42	37	33			20					
51	46	41	36	32	28	24	20	16	12	8	4	
50	45	40	35	31	27	23	19					
49	44	39	34	30	26			15				Element objectives were accomplished effectively and efficiently, with consistently good quality and quantity of work. Activities and related tasks cost-effective results. Products were above-average in quality and reliability. Accepted procedures were carried out proficiently and constructively, and problems were dealt with skillfully and resourcefully. Cooperative efforts were positive and productive. Written and oral communications related to the performance of element activities were clear and convincing.
48	43	38	33	29	25	22	18		11			
47	42	37	32	28	24							
46	41	36	31	27	23							
45	40	35	30	26								
44	39	34	29	25								
43	38	33	28	24	21	17	14			7		
42	37	32	27	23	20							
41	36	31	26	22	19			13	10			
40	35	30	25	21	18	15	12					
39	34	29	24	20	17							
38	33	28	23	19	16							Element objectives, activities and related tasks were completed with adequate quality and quantity of work. Products were generally reliable and were delivered without unacceptable delays. Procedures were minimally correct and problems were dealt with satisfactorily. Work methods demonstrated a reasonable degree of cooperation with others. Written and oral communication related to the performance of element activities were generally understandable.
37	32	27	22	18	14							
36	31	26	21	17								
35	30	25	20	16								
34	29	24	19	15								
33	28	23	18	14								
32	27	22	17									
31	26	21	16									
30	25	20	15									
29	24	19	14									
28	23	18	13									
27	22	17										
26	21											
25												
24	22	20	18	16	14	12	10	8	6	4	2	

UNSATISFACTORY: Element objectives and activities were not successfully completed, because of failures in quality, quantity, completeness, or timeliness of work. Products were deficient, because they were contrary to directions or guidelines; did not meet minimum specifications; were inconsistent with proper procedures; were significantly flawed or substandard in quality; demonstrated insufficient technical knowledge or skill; were incomplete; were unacceptably late; or lacked essential cooperative involvement and support. Problems that arose during the performance of element activities were not satisfactorily resolved. (No score given for unsatisfactory performance)

	ELEMENT #1	ELEMENT #2	ELEMENT #3	ELEMENT #4	ELEMENT #5	ELEMENT #6	TOTAL
WEIGHT							= 100
SCORE							

INSTRUCTIONS

RESPONSIBLE OFFICIAL: The Rating Official is responsible for all steps except C-6, which is the responsibility of the Pay Pool Manager.

A. PERFORMANCE PLANNING (Section 1, Items 1-3): Develop the performance plan in collaboration with the employee.

1. **Performance Element:** Establish the performance elements of the position (Item 1). Fill out a separate Section 1 for each element.
2. **Objectives:** State the objective of each element.
3. **Point Weight:** Assign a weight to each element in terms of importance or time required, or both. The weight selected must be on the Element Point Range. The total weight of all elements must equal 100 points.
4. **Major Activities:** List the major activities or required results related to each element (Item 2).
5. **Evaluation Criteria:** If needed, enter a supplemental performance standard that defines at least the minimum level of "Eligible" performance to be applied along with the benchmark performance standards (Item 3).
6. **Cover Sheet:** Fill out and sign the cover sheet; obtain the signatures of higher level supervisor, (if appropriate) the pay pool manager, Reviewing Official*, and employee in this order.

B. PROGRESS REVIEW 1, Item 4): Conduct at least one (mid-year) progress review with the employee.

1. **Discussion:** For each element, discuss with the employee and record: (a) progress toward accomplishing the element; (b) any need for changes in the plan; and (c) any performance deficiencies and how to correct them.
2. **Recording:** Check one of the blocks.
3. **Initialing:** Initial and date, and have the employee initial and date, attesting that the progress review took place. If changing the plan, Rating Official, Pay Pool Manager, Reviewing Official*, and the employee must initial the change.

C. PERFORMANCE APPRAISAL (Section 1, Item 5: Section II): Appraise the employee's performance in accordance with the performance elements, their objectives, activities, weighted values, the benchmark performance standards, and any supplemental standards.

1. **Notification:** Notify the employee of (a) the requirement to submit a list of accomplishments; and (b) the date and time of the Performance Review meeting.
2. **Performance Review Meeting:** Meet with the employee to discuss accomplishments. Ratings and other outcomes ARE NOT discussed at his meeting.
3. **End-of-Year Appraisal:** In Item 5, describe the employee's performance, including consideration of employee's accomplishments and those accomplishments recognized by the Rating Official.
4. **Scoring:** Use the *Element Point Ranges and Performance Standards Table* to calculate a tentative total score: (a) measure the performance of each element against the *Benchmark Performance Standards* (and supplemental standards, if any); (b) from the column of scores headed by the weight of the element, select a score for the element that corresponds to the level of performance (e.g., if the weight of the element is 40 points and the performance on the element matched the highest benchmark, assign 40 points; if the performance matches the second highest benchmark, assign 28 points; if it matches the third highest benchmark, assign 16 points; if it falls between two benchmarks, assign an appropriate score); (c) sum the individual element scores to produce the total performance score.
5. **Recommendations:** Submit tentative overall scores and recommendations for pay increases and bonuses (through higher-level supervisor) to the Pay Pool Manager for approval.
6. **Pay Pool Manager:** Carry out the following steps using the automated performance payout system: (a) interleave peer groups; (b) make pay increase decisions; (c) make bonus decisions; (d) record decisions on Form CD-541; (e) sign the Summary Rating Sheet; (f) forward to Reviewing Official*, (g) return forms to Rating Official.
7. **Rating Official:** Signs the Summary Rating Sheet.
8. **Evaluation Feedback Meeting:** Rating Official meets with the employee to discuss the final decisions: rating any performance pay increase, and bonus. Obtains the employee's signature and gives the employee a copy of the completed appraisal.

* If the Pay Pool Manager is also the Rating Official for a position in the pay pool, the Reviewing Official (next higher level in management chain) must review and sign the performance plan and appraisal before feedback to the employee.